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Approved for use through 10/31/2002. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. **062002-1751**  
First Inventor **Martin, et al.**  
Title **Method and Apparatus for Low Energy Electron Enhanced Etching or Substrates in an AC or DC Plasma Environment**  
Express Mail Label No. **EL797949191US**

PTO  
09/05/97  
1038 U.S. PTO

05/15/01

## APPLICATION ELEMENTS

See MPEP Chapter 600 concerning utility patent application contents

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

☐ APPLICANT REQUESTS EARLY PUBLICATION UNDER 37 CFR 1.219 (additional fee)

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
3. ☒ Specification (preferred arrangement set forth below) [Total Pages **26**]
  - Descriptive title of the invention
  - Cross References to Related Applications
  - Statement Regarding Fed. Sponsored R&D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) [Total Sheets **6**]
5. Oath or Declaration [Total Pages **5**]
  - a. ☒ Executed (COPY)
  - b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)
  - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76
7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Copy (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ Paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & Documents(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No: **08/932,025**

Prior application information: **Examiner Olsen, A** Group / Art Unit: **1746**  
For CONTINUATION OR DIVISIONAL APPS only: the entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. This incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 18. CORRESPONDENCE ADDRESS

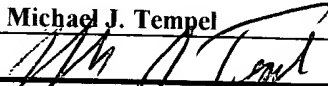
☒ Customer Number or Bar Code Label

**24504**

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

NAME	<b>Scott A. Horstemeyer; Reg. No. 34,183</b>		
	<b>Thomas, Kayden, Horstemeyer &amp; Risley, L.L.P.</b>		
ADDRESS	<b>100 Galleria Parkway</b>		
	<b>Suite 1750</b>		
CITY	<b>Atlanta</b>	STATE	<b>Georgia</b>
COUNTRY	<b>U.S.A.</b>	TELEPHONE	<b>770-933-9500</b>
		ZIP CODE	<b>30339-5948</b>
		FAX	<b>770-951-0931</b>

Name (Print/Type)	<b>Michael J. Tempel</b>	Registration No. (Attorney/Agent)	<b>41,344</b>
Signature		Date	<b>05/15/01</b>

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

**FEE TRANSMITTAL  
for FY 2000**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)**395.00****Complete If Known**

Application Number	To Be Assigned
Filing Date	May 15, 2001
First Named Inventor	Martin, et al.
Examiner Name	To Be Assigned
Group / Art Unit	To Be Assigned
Attorney Docket No.	062002-1751

**METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge to the following Deposit Account,

Deposit Account Number

20-0778

Deposit Account Name

Thomas, Kayden, Horstemeyer Risley

- ☐
- Charge all indicated fees and any additional fee required or credit any overpayment.

- ☒
- Charge any additional fee required and requested to credit any overpayment.

- ☒
- Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:**



Check



Money Order



Credit Card

**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	\$355
106	320	206	160	Design filing fee	\$
107	490	207	245	Plant filing fee	\$
108	710	208	355	Reissue filing fee	\$
114	150	214	75	Provisional filing fee	\$
<b>SUBTOTAL (1)</b>					<b>(\$355)</b>

**2. EXTRA CLAIM FEES**

	Extra Claims	Fee from below	Fee Paid
Total Claims	17	-20** = 0	9.00 = 0
Independent Claims	2	-3** = 0	40.00 = 0
Multiple Dependent			270.00 = 0

\*\*or number previously paid, if greater; For Reissue, see below

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent Claims in excess of 3
104	270	204	135	Multiple dependent claims in excess of 3
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent
<b>SUBTOTAL (2)</b>				

(\$355)

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension of time within second month	
117	890	217	445	Extension of time within third month	
118	1,390	218	695	Extension of time within fourth month	
128	1,890	228	945	Extension of time within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt.	
581	40	581	40	Recording each patent assignment per property (time number of properties)	40
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

40

**SUBMITTED BY**

Typed or Printed Name

Michael J. Tempel

Signature

Date

05/15/01

**Complete (if applicable)**

Reg. Number

41,344

Deposit Account User ID

05-16-01  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENTS

A

In re: Martin, et al.

For: Method and Apparatus for Low Energy Electron Enhanced Etching or Substrates in an AC or DC Plasma Environment

CERTIFICATE OF EXPRESS MAIL

Assistant Commissioner for Patents  
BOX: Patent Application  
Washington, D.C. 20231

Sir:

Enclosed for filing in the above case are the following documents:

Return Postcard  
Utility Patent Application Transmittal Page  
Fee Transmittal Page  
Utility Patent Application Consisting Of:  
20 Pages of Specification  
5 Pages of Claims  
1 Pages of Abstract  
6 Pages of Formal Drawings  
Assignment (EXECUTED COPY)  
Assignment Cover Sheet  
Combined Declaration and Power of Attorney (EXECUTED COPY)  
Verified Statement (Declaration) Claiming Small Entity Status - Non-Profit Organization (EXECUTED COPY)  
Preliminary Amendment  
Amendment Transmittal Letter  
Check in the amount of \$395.00 for Application and Assignment recordation fees

Further, the Commissioner is authorized to charge Deposit Account No. 20-0778 for any additional fees required. The Commissioner is requested to credit any excess fee paid to Deposit Account No. 20-0778.

Respectfully submitted,

Michael J. Tempel

THOMAS, KAYDEN, HORSTEMEYER  
& RISLEY, L.L.P.  
100 Galleria Parkway, N.W.  
Suite 1750  
Atlanta, Georgia 30339-5948

Our Docket No: 062002-1751

I hereby certify that all correspondences listed above are being deposited for delivery to the above addressee, with the United States Postal Service "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 CFR §1.10 on the date indicated below:  
The envelope has been given U.S. Postal Service "Express Mail Post Office To Addressee" Package # EL797949191US.

Date: May 15, 2001

Gloria L. Knox

11054 U.S. PTO  
05/15/01

11033 U.S. PTO  
09/855972  
05/15/01